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UNITED STATES PATENT AND TRADEMARK OFFICE



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UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
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| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/829,014         | 04/10/2001          | Thomas Scharfe        | P 279247 000121 FH     |

CONFIRMATION NO. 9559

00909  
PILLSBURY WINTHROP LLP  
1100 NEW YORK AVENUE, N.W.  
9TH FLOOR  
WASHINGTON, DC 20005

## FORMALITIES LETTER



\*OC000000006073998\*

Date Mailed: 05/14/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$504.
  - \$234 for 13 total claims over 20.
  - \$270 for multiple dependent claim surcharge.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1344.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

06/01/2001 SDENB031 00000037 09829014  
 710.00  
 234.00  
 270.00  
 130.00  
 01 FC:101  
 02 FC:103  
 03 FC:104  
 04 FC:105



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

FILING COMPLETION UNDER RULE 53(f)

( NOT PCT Applications)  
For Design, Provisional, or Utility Applications

PATENT  
APPLICATION



COMPLETION Under  
Rule 53(f)

Attn: Application Division

In re PATENT APPLICATION of

Inventor(s): SCHARFE et al.

Appl. No.: 09

829,014

Atty.Dkt.

P

279247

000121 FH

Series Code ↑

Serial No. ↑

M#

Client Ref

Filed: April 10, 2001  
Title: DISPERSIONS

Hon. Commissioner of Patents  
Washington, DC 20231

Date: May 31, 2001

Sir:

The following completes the filing under Rule 53(f) of the above-identified patent application:

1. **Notice to File Missing Parts** ☒ copy attached ☐ not yet received
2. ☒ Signed Declaration attached. ☒ Original ☐ Facsimile/Copy

(Always "X" box 2 if filling signed Declaration and

"X" box 2A only if top box of the Declaration is X'd and file application copy, or

"X" box 2B only if none of the top three boxes of the Declaration is X'd.)

- 2A. ☐ Attached: Original signed Declaration with attached specification (including claim(s)) which is a copy of specification and claim(s) originally filed to secure the above filing date.
- 2B. ☐ The original application as filed in the PTO on the above filing date is the application which each inventor executed by signing the attached Rule 63 Declaration.
3. ☐ Specification originally filed in non-English language; hence verified translation attached of:
  - a. ☐ Abstract
  - b. #  pages of Specification (only spec. & claims)
  - c. ☐ Drawing(s) No of Sheets
  - ☐ Fig(s).

4. ☐ Letter filing formal drawing attached.

5. ☒ Attached is an assignment and cover sheet. Please return the recorded assignment to the undersigned.

6. DOMESTIC/INTERNATIONAL priority is claimed under 35 USC 119(e)/120/365(c) based on the following provisional, nonprovisional and/or PCT international application(s):

| Application No. | Filing Date | Application No. | Filing Date |
|-----------------|-------------|-----------------|-------------|
| (1)             |             | (2)             |             |
| (3)             |             | (4)             |             |
| (5)             |             | (6)             |             |

7. FOREIGN priority is claimed under 35 USC 119(a)-(d)/365(b) based on filing in EUROPE

8.
 

| Application No.     | Filing Date    | Application No. | Filing Date |
|---------------------|----------------|-----------------|-------------|
| (1) EP 00 107 817.9 | April 12, 2000 | (2)             |             |
| (3)                 |                | (4)             |             |
| (5)                 |                | (6)             |             |

Completion Under Rule 53(b)

9. \_\_\_\_\_ (No.) Certified copy (copies): ☐ attached; ☐ previously filed (date) \_\_\_\_\_  
in U.S. Application No. \_\_\_\_\_ / \_\_\_\_\_ filed on \_\_\_\_\_
10. Small Entity Status ☐ ☒ is Not claimed ☐ is claimed (file PAT-256 if this is the first claim of Small Entity Status)
11. ☐ Attached:
12. ☐ Preliminary Amendment:

**THE FOLLOWING FILING FEE IS BASED ON CLAIMS AS FILED LESS ANY ABOVE CANCELLED**

|  |    |            |    | Large/Small Entity                 |      | Fee Code |
|--|----|------------|----|------------------------------------|------|----------|
| 13. Basic Filing Fee .....   |    |            |    | Design Application \$320/\$160     |      | 106/26   |
|  |    |            |    | Not Design Application \$710/\$355 | +710 | 101/201  |
| 14. Total Effective Claims   | 34 | minus 20 = | 14 | x \$18/\$9                         | +252 | 103/203  |
| 15. Independent Claims   | 1  | minus 3 =  | 0  | x \$80/\$40                        | +0   | 102/202  |
| 16. If <u>any proper</u> multiple dependent claim (ignore improper) is present, (Leave this line blank if this is a reissue application) |    |            |    | \$270/\$135                        | +270 | 104/204  |
| 17. Surcharge for filing Declaration/filing fee late   |    |            |    | \$130/\$65                         | +130 | 105/205  |
| 18. <b>FILING FEE ENCLOSED =</b>   |    |            |    | <b>\$1362</b>                      |      |          |
| 19. <b>Original due date:</b> July 14, 2001  |    |            |    |                                    |      |          |
| 20. <b>Petition is hereby made</b> to extend the <u>original</u> due date to   |    |            |    | (1 mo) \$110/\$55 =                | +0   | 115/215  |
| cover the date this response is filed for which the requisite fee  |    |            |    | (2mos) \$390/\$195 =               |      | 116/216  |
| is attached  |    |            |    | (3mos) \$890/\$445 =               |      | 117/217  |
|  |    |            |    | (4mos) \$1390/\$695 =              |      | 118/218  |
| 21. If "non-English" box 3 is X'd, add Rule 17(k) processing fee .....   |    |            |    | \$130                              | +0   | 139      |
| 22. If "assignment" box 5 is X'd, add recording fee. ....  |    |            |    | \$40                               | +40  | 581      |
| 23. Petition Fee for   |    |            |    | \$130                              | +0   |          |
| 24. <b>TOTAL FEE ENCLOSED =</b>  |    |            |    | <b>\$1402</b>                      |      |          |

Our Deposit Account No. 03-3975

Our Order No. 21123

279247

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**CHARGE STATEMENT:** The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (missing or insufficiencies only) now or hereafter relative to this application and the resulting Official document under Rule 20, or credit any overpayment, to our Account/Order Nos. shown in the heading hereof for which purpose a duplicate copy of this sheet is attached. This **CHARGE STATEMENT** does not authorize charge of the issue fee until/unless an issue fee transmittal form is filed.

**Pillsbury Winthrop LLP**  
**Intellectual Property Group**

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**NOTE: File in duplicate with PTO receipt (PAT-103A) and attachments**